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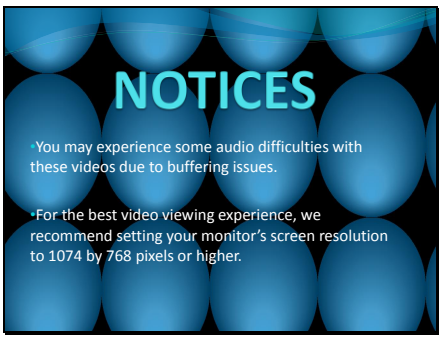

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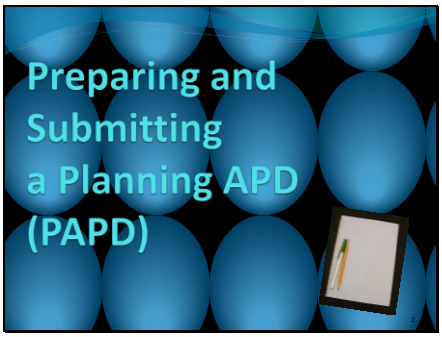

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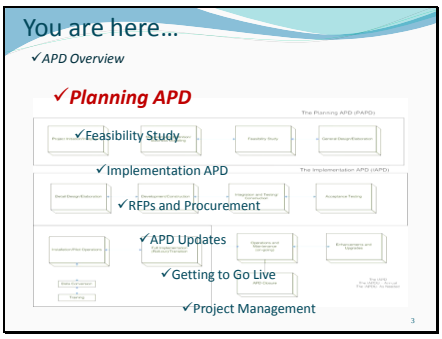

Slide 4

Learning Objectives

- Objective and Goals
- Components
- Process steps between FNS and State Agency

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Slide 5

Learning Objectives

- FNS review focus on specific elements
- Lessons learned

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Slide 6

Objective of a PAPD

Document used by a State to obtain approval and funding commitment from FNS for planning major system development efforts

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Slide 7

Objective of a PAPD

- Request Prior Approval

- Assure FNS the planned system will meet program requirements
- Approval = FNS's up front commitment for funding

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Slide 8

Objective of a PAPD

- Determines feasibility of proposed project
- Specifies nature of planning activities
  - Reviewing other state's systems
  - Conducting an alternatives analysis & feasibility study

- Who will conduct planning activities
  - State Agency Staff
  - Assistance of State IT or Procurement Office
  - Hiring a contractor

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Slide 9

PAPD Document Submission Thresholds

HINT: It's in the 901!

Stakeholder	Program/Funding Source	
	SNAP	WIC
State Agency prepares & submits PAPD at least 60 days before project initiation. FNS reviews & approves within 60 days.	For all projects >$5 million total project costs	For all projects requesting Federal funding

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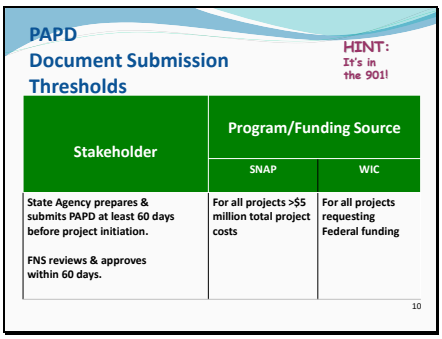

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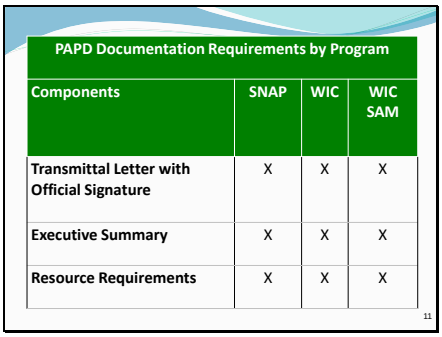

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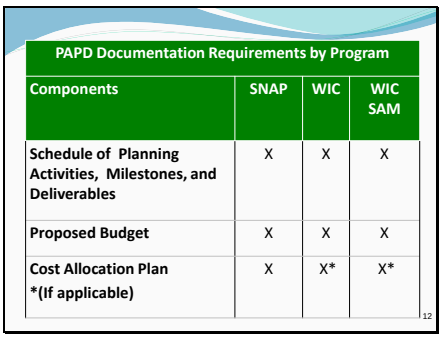

Slide 13

PAPD Budget

- Reflect the duration of the planning phase broken out by FFY and quarter
- Capture all anticipated expenditures of project planning phase--describe in detail
- Provide narrative text (as needed) to support line items

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Slide 14

PAPD Budget Worksheet - Sample Costs

Task/Line Item	Q1	Q2	Q3	Q4	FY Total
State Costs					
State Agency Travel					
Local Agency Travel					
SA Staff Time					
LA Staff Time					
Equipment					
IT Support					
Indirect					
Contractor Costs					
Travel					
Deliverable					

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Slide 15

PAPD Budget

- List projected costs in initial PAPD
- Reflect actual costs to date in PAPD-Updates
  - Show actual costs and original total in spreadsheet for comparison purposes
- Submit final PAPDU once planning phase of project is completed
- Include budget with actual costs in final document

www.fns.usda.gov/apd/Library/Document_Library.htm

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Slide 16

PAPD Process Steps

State Agency:

- Prepares and submits PAPD ➡ FNS
- Sends electronic copies:
  - 1 to FNS' Regional Office
  - 1 to FNS' State Systems Office Director
    Neva.Terry@fns.usda.gov

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PAPD Process Steps

State Agency:

- Simultaneously submits copy of PAPD to HHS and any other participating Federal agencies, if applicable
- Internal State Agency Approval Process
  - Possible to use same or similar documents to satisfy both State internal review and FNS

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PAPD Process Steps

- 60 days for document review

- A timeline with no 60 day review period = Return
- FNS review must be completed & approval received - before any incurring planning costs or contracts signed

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PAPD Process Steps

60 days for document review

- ✓Sound document
- ✓Describing your needs
- ✓Accomplished within an acceptable timeframe

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Slide 20

PAPD Process Steps

State Agency:

- FNS comments or approval ➡ State Agency
- Obtains prior FNS written approval of PAPD before entering into contractual agreements or commitments

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PAPD Process Steps Approval Conditions

- **General** – Related to availability of Federal funds and compliance with Federal regulations
- **Specific** – Funding may be approved for only a given time period, or incrementally based on specific conditions

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PAPD Process Steps

- Conduct Planning Activities!

P.S. Updates required annually or as needed – *HB 901 Chapter 2*

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Slide 23

PAPD Process Summary

- FNS reviews - notifies the State Agency if there is a need for additional information or if changes are required.
- FNS approves or denies the PAPD and notifies the State Agency of the results. Disapprovals of any PAPD may be appealed to the FNS Administrator.
- If contract services are required, the State Agency prepares and submits the Planning Request for Proposal (RFP) – note, the an RFP may be submitted simultaneously with the PAPD.

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PAPD Process Summary

- Conducts planning activities per the PAPD (e.g., alternatives analysis), submitting APDUs as required and APDU As-Needed when thresholds dictate.
- Issues the final PAPD Update (PAPDU) to advise when all PAPD activities have been completed. The final PAPD includes the final budget, showing actual costs, for planning activities.
- FNS verifies that the State Agency has successfully completed all PAPD activities and notifies it of PAPD closure.

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Slide 25

8 Key Elements – FNS Reviews

1. Explains objectives of planning phase
2. Demonstrates scope of planning activities appropriate for project
3. Demonstrates availability of funds, resources, and skills
4. Explains involvement of key stakeholders and relationships with other programs/organizations

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Slide 26

8 Key Elements – FNS Reviews

5. Justifies costs for planning activities
6. Includes commitment to consider system transfer
7. Includes itemized planning budget, sources/amounts of funding
8. Allocates costs among sources, if applicable

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Slide 27

PAPD Closure

Official close out will occur:

- When State Agency has completed all approved PAPD activities
- To document actual costs incurred

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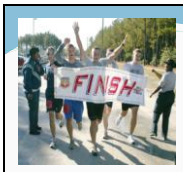
Slide 28



Planning Phase Outcomes!

- IAPD (a new beginning!)
- Design /Development / Implementation RFP

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Slide 29

Tips for Successful Planning

1. **Engage all stakeholders early in system design**
   - Collaborate early with program policy & IT staffs
   - Maintain communications with all State and Federal partners throughout project

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Slide 30

Tips for Successful Planning

2. Know Federal APD requirements

3. Know Federal and State contracting requirements

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Slide 31

Tips for Successful Planning

4. Talk with other State Agencies

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Slide 32

Contractor Conflicts of Interest

A conflict of interest is:
Any situation that could impair a contractor's ability to provide objective and impartial information, advice or counsel, or which could create an unfair competitive advantage for the contractor or its subcontractors.

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Slide 33

Contractor Conflicts of Interest

Planning Activities	&	Development
Project Management	&	Development
Project Management	&	M&O
Development	&	Quality Assurance

HINT: It's in the 901!

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Other *Potential* Contractor Conflicts of Interest

Planning Activities & Quality Assurance

Project Management & Quality Assurance

Others?

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Slide 35

Procurement Plan

- Planning contractor?
- Implementation contractor?
- Project Management contractor?

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Slide 36

Quality Assurance (QA)

- Procedures intended to ensure that a product or service under development meets specified requirements

- QA is a continuous management process that takes place throughout all phases of the project lifecycle

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Slide 37

Quality Assurance

- What:
  - Independent monitoring of project status
- How:
  - Formal reviews of development and implementation
    - Schedules
    - Accomplishments
    - Deliverables
    - Costs
    - Formal system test plans are developed for internal system test and User Acceptance Tests (UAT)
- Who:
  - May be performed by State or contractor
  - Must not be same contractor/State staff as perform project management or system development

HINT: It's in the 901!

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Slide 38

Lessons Learned

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Slide 39

Lessons Learned

- Hire Project Manager early in process
- Involve executive leadership early to facilitate ongoing support
- Prepare to have State staff control the RFP process
- Allow time to review APD and RFP documents to eliminate duplication and ensure consistency

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Slide 40

Lessons Learned

- Estimate realistic level of effort for each aspect of project
- Address impact of additional work to be required; consider back-filling
- Don't make empty promises – acknowledge factors outside of control
- Allow time to address resistance to change and to obtain buy-in for new system

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Slide 41

Lessons Learned

- Those who fail to plan, plan to fail—
  - Plan to be successful.

-Harvey Mackay

- You don't have to go it alone—
  - Let's work together.

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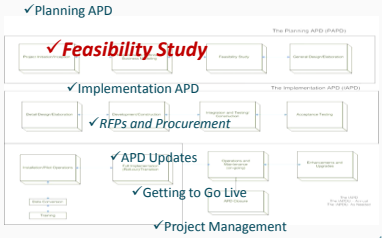
Slide 42

Your next goal…

✓APD Overview

✓Planning APD



✓***Feasibility Study***

✓Implementation APD

✓*RFPs and Procurement*

✓APD Updates

✓Getting to Go Live

✓Project Management

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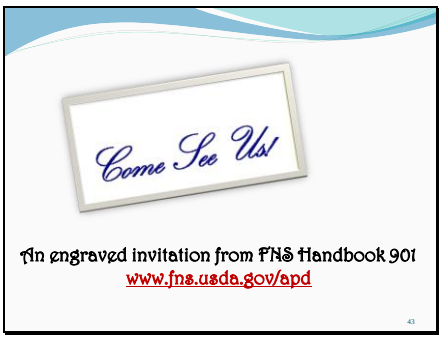
Slide 43



An engraved invitation from FNS Handbook 901
www.fns.usda.gov/apd

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